



Patent

FPW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of : Steven M. H. WALLMAN
Group Art Unit : 3609
Application No. : 10/627,921
Examiner : Susanna M. Meinecke Diaz
Filed : July 28, 2003
For : METHOD AND APPARATUS FOR ENABLING
INDIVIDUAL OR SMALLER INVESTORS OR OTHERS TO
CREATE AND MANAGE A PORTFOLIO OF SECURITIES
OR OTHER ASSETS OR LIABILITIES ON A COST
EFFECTIVE BASIS
Docket No. : 10392/460044

MAIL STOP AMENDMENTS

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

11/15/2007 SZEWDIE1 00000060 110600 10627921

01 FC:1806

180.00 DA

INFORMATION DISCLOSURE STATEMENT

Sir:

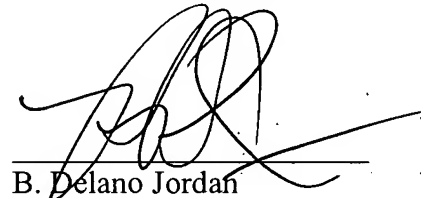
Pursuant to 37 CFR § 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO/SB/08a FORM. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom. The filing of this Information Disclosure Statement and the enclosed PTO/SB/08a FORM, shall not be construed as an admission that the information cited is prior art, or is considered to be material to patentability as defined in 37 C.F.R. § 1.56(b). It is believed that no fees other than those indicated below are due, but authorization is hereby given to charge any additional fees due, or to credit any overpayment, to deposit account 11-0600.

- ☐ 1. This Information Disclosure Statement is being filed (a) within three months of the filing date of a national application other than a continued prosecution application under 37 C.F.R. § 1.53(d), (b) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, (c) before the mailing date of a first Office Action on the merits in the present application, OR (d) before the mailing of a first office action after filing of a request for continued examination. No certification or fee is required.
- ☒ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a final action, Notice of Allowance, or any action that otherwise closes prosecution.

- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☒ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).
- ☒ c. Please debit Deposit Account No. 11-0600 in the amount of \$180.00 in payment of the fee under 37 CFR §1.17(p) to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached. 37 CFR §1.97(c)(2).
- ☐ 3. This Information Disclosure Statement is being filed after the mailing date of a final action, Notice of Allowance or an action that otherwise closes prosecution, but before payment of the Issue Fee. Applicant(s) hereby request(s) that the Information Disclosure Statement be considered. Please debit Deposit Account No. 11-0600 in the amount of \$180.00 in payment of the petition fee under 37 CFR §1.17(p) to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

Respectfully submitted,

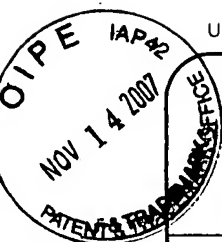
KENYON & KENYON LLP



B. Delano Jordan
Registration No. 43,698

Date: November 14, 2007

Kenyon & Kenyon LLP
1500 K Street, N.W.
Washington, D.C. 20005
Telephone: (202) 220-4200
Facsimile: (202) 220-4201



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2007

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number	10/627,921
Filing Date	July 28, 2003
First Named Inventor	Steven M. H. WALLMAN
Examiner Name	Susanna M. Meinecke Diaz
Art Unit	3609
Attorney Docket No.	10392/460044

METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)																																																																																																																																	
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None Order		3. ADDITIONAL FEES																																																																																																																																	
<input checked="" type="checkbox"/> Deposit Account:																																																																																																																																			
Deposit Account Number 11-0600																																																																																																																																			
Deposit Account Name Kenyon & Kenyon LLP																																																																																																																																			
The Director is authorized to: (check all that apply)																																																																																																																																			
<input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments																																																																																																																																			
<input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s)																																																																																																																																			
<input checked="" type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.																																																																																																																																			
FEE CALCULATION																																																																																																																																			
1. BASIC FILING FEE																																																																																																																																			
<table><thead><tr><th>Large Entity</th><th>Small Entity</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>Fee Code 1001</td><td>Fee Code 2001</td><td>Utility filing fee</td><td></td></tr><tr><td>Fee Code 1002</td><td>Fee Code 2002</td><td>Design filing fee</td><td></td></tr><tr><td>Fee Code 1003</td><td>Fee Code 2003</td><td>Plant filing fee</td><td></td></tr><tr><td>Fee Code 1004</td><td>Fee Code 2004</td><td>Reissue filing fee</td><td></td></tr><tr><td>Fee Code 1005</td><td>Fee Code 2005</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="3">SUBTOTAL (1)</td><td>(\$0)</td></tr></tbody></table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code 1001	Fee Code 2001	Utility filing fee		Fee Code 1002	Fee Code 2002	Design filing fee		Fee Code 1003	Fee Code 2003	Plant filing fee		Fee Code 1004	Fee Code 2004	Reissue filing fee		Fee Code 1005	Fee Code 2005	Provisional filing fee		SUBTOTAL (1)			(\$0)																																																																																																						
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																
Fee Code 1001	Fee Code 2001	Utility filing fee																																																																																																																																	
Fee Code 1002	Fee Code 2002	Design filing fee																																																																																																																																	
Fee Code 1003	Fee Code 2003	Plant filing fee																																																																																																																																	
Fee Code 1004	Fee Code 2004	Reissue filing fee																																																																																																																																	
Fee Code 1005	Fee Code 2005	Provisional filing fee																																																																																																																																	
SUBTOTAL (1)			(\$0)																																																																																																																																
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE																																																																																																																																			
<table><thead><tr><th>Large Entity</th><th>Small Entity</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>Fee Code 1202</td><td>Fee Code 2202</td><td>Claims in excess of 20</td><td></td></tr><tr><td>Fee Code 1201</td><td>Fee Code 2201</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>Fee Code 1203</td><td>Fee Code 2203</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>Fee Code 1204</td><td>Fee Code 2204</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>Fee Code 1205</td><td>Fee Code 2205</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr><tr><td colspan="3">SUBTOTAL (2)</td><td>(\$)</td></tr></tbody></table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code 1202	Fee Code 2202	Claims in excess of 20		Fee Code 1201	Fee Code 2201	Independent claims in excess of 3		Fee Code 1203	Fee Code 2203	Multiple dependent claim, if not paid		Fee Code 1204	Fee Code 2204	** Reissue independent claims over original patent		Fee Code 1205	Fee Code 2205	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)			(\$)																																																																																																						
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																
Fee Code 1202	Fee Code 2202	Claims in excess of 20																																																																																																																																	
Fee Code 1201	Fee Code 2201	Independent claims in excess of 3																																																																																																																																	
Fee Code 1203	Fee Code 2203	Multiple dependent claim, if not paid																																																																																																																																	
Fee Code 1204	Fee Code 2204	** Reissue independent claims over original patent																																																																																																																																	
Fee Code 1205	Fee Code 2205	** Reissue claims in excess of 20 and over original patent																																																																																																																																	
SUBTOTAL (2)			(\$)																																																																																																																																
3. ADDITIONAL FEES																																																																																																																																			
<table><thead><tr><th>Large Entity</th><th>Small Entity</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>Fee Code 1051</td><td>Fee Code 2051</td><td>Surcharge - late filing fee or oath</td><td></td></tr><tr><td>Fee Code 1052</td><td>Fee Code 2052</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr><tr><td>Fee Code 1053</td><td>Fee Code 1053</td><td>Non-English specification</td><td></td></tr><tr><td>Fee Code 1812</td><td>Fee Code 1812</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr><tr><td>Fee Code 1804</td><td>Fee Code 1804</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>Fee Code 1805</td><td>Fee Code 1805</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>Fee Code 1251</td><td>Fee Code 2251</td><td>Extension for reply within first month</td><td></td></tr><tr><td>Fee Code 1252</td><td>Fee Code 2252</td><td>Extension for reply within second month</td><td></td></tr><tr><td>Fee Code 1253</td><td>Fee Code 2253</td><td>Extension for reply within third month</td><td></td></tr><tr><td>Fee Code 1254</td><td>Fee Code 2254</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>Fee Code 1255</td><td>Fee Code 2255</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>Fee Code 1401</td><td>Fee Code 2401</td><td>Notice of Appeal</td><td></td></tr><tr><td>Fee Code 1402</td><td>Fee Code 2402</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>Fee Code 1403</td><td>Fee Code 2403</td><td>Request for oral hearing</td><td></td></tr><tr><td>Fee Code 1451</td><td>Fee Code 1451</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>Fee Code 1452</td><td>Fee Code 2452</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>Fee Code 1453</td><td>Fee Code 2453</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>Fee Code 1501</td><td>Fee Code 2501</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>Fee Code 1502</td><td>Fee Code 2502</td><td>Design issue fee</td><td></td></tr><tr><td>Fee Code 1503</td><td>Fee Code 2503</td><td>Plant issue fee</td><td></td></tr><tr><td>Fee Code 1460</td><td>Fee Code 1460</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>Fee Code 1807</td><td>Fee Code 1807</td><td>Processing fee under 37 CFR 1.17 (q)</td><td></td></tr><tr><td>Fee Code 1806</td><td>Fee Code 1806</td><td>Submission of Information Disclosure Stmt</td><td>180</td></tr><tr><td>Fee Code 8021</td><td>Fee Code 8021</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>Fee Code 1809</td><td>Fee Code 2809</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>Fee Code 1810</td><td>Fee Code 2810</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td>Fee Code 1801</td><td>Fee Code 2801</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>Fee Code 1802</td><td>Fee Code 1802</td><td>Request for expedited examination of a design application</td><td></td></tr><tr><td colspan="3">Other fee (specify)</td><td></td></tr><tr><td colspan="3">*Reduced by Basic Filing Fee Paid</td><td></td></tr><tr><td colspan="3">SUBTOTAL (3)</td><td>(\$180.00)</td></tr></tbody></table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code 1051	Fee Code 2051	Surcharge - late filing fee or oath		Fee Code 1052	Fee Code 2052	Surcharge - late provisional filing fee or cover sheet		Fee Code 1053	Fee Code 1053	Non-English specification		Fee Code 1812	Fee Code 1812	For filing a request for <i>ex parte</i> reexamination		Fee Code 1804	Fee Code 1804	Requesting publication of SIR prior to Examiner action		Fee Code 1805	Fee Code 1805	Requesting publication of SIR after Examiner action		Fee Code 1251	Fee Code 2251	Extension for reply within first month		Fee Code 1252	Fee Code 2252	Extension for reply within second month		Fee Code 1253	Fee Code 2253	Extension for reply within third month		Fee Code 1254	Fee Code 2254	Extension for reply within fourth month		Fee Code 1255	Fee Code 2255	Extension for reply within fifth month		Fee Code 1401	Fee Code 2401	Notice of Appeal		Fee Code 1402	Fee Code 2402	Filing a brief in support of an appeal		Fee Code 1403	Fee Code 2403	Request for oral hearing		Fee Code 1451	Fee Code 1451	Petition to institute a public use proceeding		Fee Code 1452	Fee Code 2452	Petition to revive - unavoidable		Fee Code 1453	Fee Code 2453	Petition to revive - unintentional		Fee Code 1501	Fee Code 2501	Utility issue fee (or reissue)		Fee Code 1502	Fee Code 2502	Design issue fee		Fee Code 1503	Fee Code 2503	Plant issue fee		Fee Code 1460	Fee Code 1460	Petitions to the Commissioner		Fee Code 1807	Fee Code 1807	Processing fee under 37 CFR 1.17 (q)		Fee Code 1806	Fee Code 1806	Submission of Information Disclosure Stmt	180	Fee Code 8021	Fee Code 8021	Recording each patent assignment per property (times number of properties)		Fee Code 1809	Fee Code 2809	Filing a submission after final rejection (37 CFR § 1.129(a))		Fee Code 1810	Fee Code 2810	For each additional invention to be examined (37 CFR § 1.129(b))		Fee Code 1801	Fee Code 2801	Request for Continued Examination (RCE)		Fee Code 1802	Fee Code 1802	Request for expedited examination of a design application		Other fee (specify)				*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)			(\$180.00)		
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																
Fee Code 1051	Fee Code 2051	Surcharge - late filing fee or oath																																																																																																																																	
Fee Code 1052	Fee Code 2052	Surcharge - late provisional filing fee or cover sheet																																																																																																																																	
Fee Code 1053	Fee Code 1053	Non-English specification																																																																																																																																	
Fee Code 1812	Fee Code 1812	For filing a request for <i>ex parte</i> reexamination																																																																																																																																	
Fee Code 1804	Fee Code 1804	Requesting publication of SIR prior to Examiner action																																																																																																																																	
Fee Code 1805	Fee Code 1805	Requesting publication of SIR after Examiner action																																																																																																																																	
Fee Code 1251	Fee Code 2251	Extension for reply within first month																																																																																																																																	
Fee Code 1252	Fee Code 2252	Extension for reply within second month																																																																																																																																	
Fee Code 1253	Fee Code 2253	Extension for reply within third month																																																																																																																																	
Fee Code 1254	Fee Code 2254	Extension for reply within fourth month																																																																																																																																	
Fee Code 1255	Fee Code 2255	Extension for reply within fifth month																																																																																																																																	
Fee Code 1401	Fee Code 2401	Notice of Appeal																																																																																																																																	
Fee Code 1402	Fee Code 2402	Filing a brief in support of an appeal																																																																																																																																	
Fee Code 1403	Fee Code 2403	Request for oral hearing																																																																																																																																	
Fee Code 1451	Fee Code 1451	Petition to institute a public use proceeding																																																																																																																																	
Fee Code 1452	Fee Code 2452	Petition to revive - unavoidable																																																																																																																																	
Fee Code 1453	Fee Code 2453	Petition to revive - unintentional																																																																																																																																	
Fee Code 1501	Fee Code 2501	Utility issue fee (or reissue)																																																																																																																																	
Fee Code 1502	Fee Code 2502	Design issue fee																																																																																																																																	
Fee Code 1503	Fee Code 2503	Plant issue fee																																																																																																																																	
Fee Code 1460	Fee Code 1460	Petitions to the Commissioner																																																																																																																																	
Fee Code 1807	Fee Code 1807	Processing fee under 37 CFR 1.17 (q)																																																																																																																																	
Fee Code 1806	Fee Code 1806	Submission of Information Disclosure Stmt	180																																																																																																																																
Fee Code 8021	Fee Code 8021	Recording each patent assignment per property (times number of properties)																																																																																																																																	
Fee Code 1809	Fee Code 2809	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																	
Fee Code 1810	Fee Code 2810	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																	
Fee Code 1801	Fee Code 2801	Request for Continued Examination (RCE)																																																																																																																																	
Fee Code 1802	Fee Code 1802	Request for expedited examination of a design application																																																																																																																																	
Other fee (specify)																																																																																																																																			
*Reduced by Basic Filing Fee Paid																																																																																																																																			
SUBTOTAL (3)			(\$180.00)																																																																																																																																
SUBMITTED BY		Complete (if applicable)																																																																																																																																	
Name (Print/Type)	B. Delano Jordan	Registration No. (Attorney/Agent)	43,698																																																																																																																																
Signature		Telephone	202.220.4200																																																																																																																																
		Date	November 14, 2007																																																																																																																																

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.